

**KENTUCKY FEDERALLY ASSISTED
DRINKING WATER STATE REVOLVING FUND
PLANS AND SPECIFICATION REVIEW CHECKLIST**

Revised September 9, 2013

Loan Recipient: _____ Loan No.: _____

Name: _____ Contract ID: _____

Design Firm: _____

The information provided is accurate for the above referenced contract to the best of my knowledge and belief.

Design Engineer: _____ Signature _____

Date _____

Please submit four copies of the plans and specifications with the other required construction permit forms and documents at this time to the Division of Water. The plans and specifications must be sealed, signed and dated by a Professional Engineer.

NOTE: When the project is advertised, a set of as-bid plans and specifications and a copy of the advertisement must be submitted to the Division of Water immediately.

Questions with (DOW) are to be completed by the Division of Water Engineer.

I have reviewed the information provided by the design engineer, verified the accuracy, and completed the **(DOW)** questions.

(DOW) Review Engineer: _ _____ Signature _____

Date _____

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Loan Recipient: _____ Loan No.: _____

Projected Sources of Funds

Source	Amount
_____	_____
_____	_____
_____	_____
_____	_____

Contract Period, Number of Days _____

Estimated Construction Amount \$ _____ SRF Loan Amount \$ _____

SRF Eligible \$ _____ SRF Non-eligible \$ _____

Detailed description of proposed project:

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Does the eligible portion include:

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Demolition: Is it limited to that required for new construction?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Replacement of existing utilities: Is no "betterment" proposed?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Paving: Is it limited to the trench width and cutbacks?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Standby generators: Has justification been provided?

The following items are considered ineligible for SRF projects. Are any of these included in the specifications:

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Bonus payments?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Immediately available hand tools?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mowers, snow blowers, trimmers?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Replacement of facilities previously funded by EPA or SRF, which are still within the useful life unless EPA or SRF has approved abandonment?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Redundant facilities (unless required by state or federal reliability requirements)?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Routine maintenance items (oil, grease, filters, etc.)?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Utility vehicles/golf carts?

List all SRF loan ineligible items in the project:

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General

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. (DOW) Does DOW review engineer concur with the description of SRF ineligible items?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. (DOW) Are the plans and specifications sealed, signed and dated by a professional engineer?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. Are electric motors and components above the 100-year flood elevation?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. Are buildings protected from the 100 year flood and usable at the 25 year flood level?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. Are permits to construct required from other Federal or State Agencies? If yes, indicate which Agencies.
<hr/>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6a. Have the required permits been issued? Provide the DOW with copies.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6b. Have the required permits been applied for?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. If the project includes work that will cumulatively disturb more than 200 linear feet of a blue line stream as shown on a USGS 7.5-min. topographic map, has an application for 401 Certification been submitted to the DOW Water Quality Section?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8. If the project involves construction within a floodplain, including stream crossings, has an application for the appropriate permits been submitted to the DOW Floodplain Management Section?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9. If the loan recipient has requested to buy equipment and be exempt from sales tax, are the specifications written to accommodate this?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10. Does this project eliminate any existing water treatment plants?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11. (DOW) If value engineering (VE) was done (whether mandated or elected) are all adopted VE proposals incorporated in the plans and specs?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12a. (DOW) Has Division of Water written or issued an Environmental Impact Statement (EIS), Categorical Exclusion Document (CED) or a Finding of No Significant Impact Report (FONSI)?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12b. (DOW) Is the scope of the SRF project identified in the plans and specifications consistent with the CED, FONSI, or EIS?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13a. Have all required easements been obtained?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13b. (DOW) Has a site certificate been received? NOTE: Clear Site Certificate are required before construction starts.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14a. If this proposed project includes a sludge lagoon system has the DOW Groundwater Section been contacted regarding the need for a groundwater protection plan?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14b. Is a plan required? Provide copies of correspondence.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	15. If this project is a result of a DOW enforcement action, have all mandated construction related activities been addressed in the scope of work for this project? Notify the Division of Enforcement.

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Clearinghouse Comments

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1a. Obtained Kentucky Department of Transportation encroachment permits?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1b. Has applied for Kentucky Department of Transportation encroachment permits?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. Has assigned a place in the Contract Documents for Wage Determinations for federal and state wage rates?
NOTE: The Kentucky Labor Cabinet must be contacted for Wage Determinations when the Advertising Date is know. Davis-Bacon Wage Determinations may have to be added by Addendum if they change while the project is advertised.			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. If state labor laws apply, do specifications indicate overtime pay is required for work in excess of an 8-hour day?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4a. Obtained a release from the Kentucky Heritage Council and the State Historic Preservation Officer?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4b. If the answer to #4a is no, are all survey report conditions incorporated in the plans and specifications?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5a. Obtained a letter from the Kentucky Nature Preserves Commission indicating there are no species of plant, animal or sensitive natural areas monitored by the Commission in the project area?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5b. If the answer to #5a is no, are all survey report conditions incorporated in the plans and specifications?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. If sludge is to be disposed of in a landfill, has the landfill operator provided a letter of intent?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. If sludge is to be land-farmed, has Division of Waste Management approved the proposed site? (Note: Submit copy of approval letter.)

Proposal

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. Have SRF eligible and ineligible items been separated?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. Time of completion _____ days.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. If the contract allows for substitution of equipment, is the method for determining the low bidder clearly indicated?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. Has a base bid and any alternatives been specified?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. Are there any special conditions on evaluating lump sum contract?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. Please specify: _____ (DOW) Have the technical specifications been written to assure the maximum competition?
			a. No unjustified experience clause (over five years, excessive construction for a time period).
			b. Use of brand name or equal in specifications, and at least three manufacturers if names listed on bid schedule. (may ask for manufacturer if names not listed on bid schedule)

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SPECIFICATIONS AND CONTRACT DOCUMENTS

NOTE: (DOW) column on the left on pages 7 and 8 in this Section is for the review engineer verification.
Design Engineer must list the sections and page numbers for all items.

INVITATION TO BID OR ADVERTISEMENT

(DOW)	Section	Page	
<input type="checkbox"/>	_____	_____	1. Time and place of Bid Opening
<input type="checkbox"/>	_____	_____	2. Where plans and specs may be obtained
<input type="checkbox"/>	_____	_____	3. Work to be performed
<input type="checkbox"/>	_____	_____	4. A statement bidders must comply with Title VI of the Civil Rights Act of 1964, the Anti-Kickback Act, and the Contract Work Hours Standard Act
<input type="checkbox"/>	_____	_____	5. A statement that bidders must comply with the President's Executive Order No. 11246 as amended, which prohibits discrimination in employment regarding race, creed, color, sex or national origin
<input type="checkbox"/>	_____	_____	6. This project will be in compliance with Executive Order 11246 (Equal Employment Opportunity) as amended
<input type="checkbox"/>	_____	_____	7. A statement that the Contractor/Subcontractor will comply with 41 CFR 60-4, in regard to affirmative action, to insure equal opportunity to females and minorities and will apply the time tables and goal set forth in 41 CFR 60-4
<input type="checkbox"/>	_____	_____	8. A statement that the bidder will make positive efforts to use small, minority, women owned and disadvantaged businesses
<input type="checkbox"/>	_____	_____	9. A statement that this procurement will be subject to DOW Procurement Guidance including the Davis-Bacon Act
<input type="checkbox"/>	_____	_____	10. A statement that the contract is being funded in part with a SRF loan
<input type="checkbox"/>	_____	_____	11. A statement that the award will be made to the lowest, responsive, responsible bidder

INSTRUCTIONS TO BIDDERS, GENERAL AND SPECIAL CONDITIONS

(DOW)	Section	Page	
<input type="checkbox"/>	_____	_____	1. Bid Bond Requirements (5% for Contracts over \$100,000)
<input type="checkbox"/>	_____	_____	2. 100% Performance Bond and 100% Payment Bond for contracts over \$100,000. Single Payment and Performance Bonds may be used for contracts under \$100,000. Performance Bond must be valid for one year beyond date of acceptance of the completed project.
<input type="checkbox"/>	_____	_____	3. Method of Award (to the low responsive, responsible bidder unless all bids are rejected). Refer to 40 CFR 31.36(d). All bids shall not be rejected without proper justification.
<input type="checkbox"/>	_____	_____	4. Basis for determining responsiveness and responsibility of low bidder
<input type="checkbox"/>	_____	_____	5. Contract Time: _____ days

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(DOW)	Section	Page	
<input type="checkbox"/>	_____	_____	6. Liquidated Damages: _____ dollars per day
<input type="checkbox"/>	_____	_____	7. Criteria that are used to evaluate proposed "equal" products
<input type="checkbox"/>	_____	_____	8. Workmen's Compensation Insurance
<input type="checkbox"/>	_____	_____	9. Public Liability Insurance
<input type="checkbox"/>	_____	_____	10. Fire and extended coverage insurance (Builders Risk)
<input type="checkbox"/>	_____	_____	11. Reasonable care shall be taken during construction to avoid damage to vegetation. Ornamental shrubbery and tree branches shall be temporarily tied back, where appropriate, to minimize damage. Trees that receive damage to branches shall be trimmed of those branches to improve the appearance of the tree. Tree trunks receiving damage from equipment shall be treated with a tree dressing.
<input type="checkbox"/>	_____	_____	12. Compliance with OSHA (P.L. 91-596) and the Contract Work Hours and Safety Standards Act (P.L. 91-54)
<input type="checkbox"/>	_____	_____	13. A statement that change orders to the construction contract must comply with DOW Procurement Guidance for Construction and Equipment Contracts
<input type="checkbox"/>	_____	_____	14. Does the contract require cost, pricing, and certification for change orders exceeding \$100,000 as required by DOW Procurement Guidance for Construction and Equipment Contracts?
<input type="checkbox"/>	_____	_____	15. Does the contract require that the contractor provide project construction and payment schedules?
<input type="checkbox"/>	_____	_____	16. Compliance with Title VI of the Civil Rights Act of 1964, the Anti-Kickback Act and the contract Work Hours Standards Act
<input type="checkbox"/>	_____	_____	17. Provisions for timely periodic payments and for limiting retainage (40 CFR 31.36)
<input type="checkbox"/>	_____	_____	18. Provision to obtain a Section 404 permit from the Corps of Engineers, if applicable
<input type="checkbox"/>	_____	_____	19. A statement in regard to minimizing siltation and soil erosion during construction

SUPPLEMENTAL GENERAL CONDITIONS

Have the Supplemental General Conditions (September 2013) been included in the specifications? _____
If not, has the required wording/information from the referenced attachments been included? _____

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DOW Engineer, forward Pages 9, 10 and 11 and give to SRF & SPAP Section Project Administrator

Note: The consultant must complete this section for each contract. If not applicable complete were appropriate and explain.

AREAS OF WORK – DISADVANTAGED BUSINESS ENTERPRISE

Loan Recipient: _____ Loan No.: _____

Project Name: _____

Contact Person: _____

Address: _____

Phone No: _____

Consultant: _____

Contact Person: _____

Address: _____

Phone No.: _____

Contract No./Type: _____

Estimated Bid Date: _____

This contract will include the following work:

<u>General Construction</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Backhoe	<input type="checkbox"/>	_____
Concrete Construction	<input type="checkbox"/>	_____
Concrete Finishers	<input type="checkbox"/>	_____
Demolition	<input type="checkbox"/>	_____
Excavating	<input type="checkbox"/>	_____
General Construction	<input type="checkbox"/>	_____
Material Haulers	<input type="checkbox"/>	_____
Seeding	<input type="checkbox"/>	_____

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	<u>Check if Included</u>	<u>Estimated Cost</u>
Sodding	<input type="checkbox"/>	_____
Surveyors	<input type="checkbox"/>	_____
Pipe Layers	<input type="checkbox"/>	_____
 <u>Building Construction</u>		
Drywall	<input type="checkbox"/>	_____
Electrical Contractors	<input type="checkbox"/>	_____
Flooring	<input type="checkbox"/>	_____
HVAC	<input type="checkbox"/>	_____
Insulation	<input type="checkbox"/>	_____
Landscaping	<input type="checkbox"/>	_____
Masonry	<input type="checkbox"/>	_____
Painting Contractors	<input type="checkbox"/>	_____
Plaster	<input type="checkbox"/>	_____
Plumbing	<input type="checkbox"/>	_____
Roofing	<input type="checkbox"/>	_____
Sandblasting	<input type="checkbox"/>	_____
Sprinkler System Installation	<input type="checkbox"/>	_____
Wiring	<input type="checkbox"/>	_____
 <u>Roadway Construction</u>		
Asphalt Removal	<input type="checkbox"/>	_____
Guardrail Work	<input type="checkbox"/>	_____
Roadway and Right-of-Way Work	<input type="checkbox"/>	_____
 <u>Water Line Construction</u>		
Pipe Fabrication	<input type="checkbox"/>	_____
PVC or D.I. Pipe Supplier	<input type="checkbox"/>	_____
Water Line Work	<input type="checkbox"/>	_____
Water Valve Supplier	<input type="checkbox"/>	_____
Fire Hydrant Supplier	<input type="checkbox"/>	_____
 <u>Specialized Construction</u>		
Asbestos Removal	<input type="checkbox"/>	_____
Installation of Alarm Systems	<input type="checkbox"/>	_____
Safety Equipment Installation	<input type="checkbox"/>	_____
Steel Erecting and Tiering	<input type="checkbox"/>	_____
Installation of Telemetry	<input type="checkbox"/>	_____
 <u>Supplier</u>		
Construction Equipment Sales	<input type="checkbox"/>	_____
Glass Suppliers and Glazing	<input type="checkbox"/>	_____
Industrial Chemical Suppliers	<input type="checkbox"/>	_____
Industrial Equipment Suppliers	<input type="checkbox"/>	_____

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	<u>Check if Included</u>	<u>Estimated Cost</u>
Manufacturer - canopies, aluminum windows, and aluminum handrails	<input type="checkbox"/>	_____
Plumbing Suppliers	<input type="checkbox"/>	_____
Sheet Metal Manufacturer	<input type="checkbox"/>	_____
Steel Fabrication	<input type="checkbox"/>	_____
Steel Supplier	<input type="checkbox"/>	_____
Trucking	<input type="checkbox"/>	_____
Water Treatment Chemicals and Equipment	<input type="checkbox"/>	_____
Window Replacements	<input type="checkbox"/>	_____

Given the nature of the scope of work of this contract, is a DBE participation of 3 and 5 percent achievable?

☐ Yes ☐ No

DOW will send this checklist to the following agencies:

KPAP
Community Development Office
Cabinet for Economic Development
Capital Plaza Tower
Frankfort, Kentucky 40601

Office for Civil Rights & Small Business Development
Department of Transportation
200 Mero Street
Frankfort, Kentucky. 40622

For Projects West of Elizabethtown:
Minority Economic Development Initiative
Hopkinsville-Christian County Economic Development Council
2800 Fort Campbell Boulevard
Hopkinsville, Kentucky 42240
Attn: Director